

Listings and Compliance Manager

The Bermuda Stock Exchange (BSX) is seeking a Listings and Compliance Manager to join its team. The successful candidate will report to the Chief Compliance Officer. The primary role of the Listings and Compliance Manager is to oversee the process for application and admission of new securities to listing on the BSX and manage two members of the listings and compliance team.

The BSX is a fully-electronic, vertically integrated international securities market headquartered in Bermuda and organised in 1971. BSX specialises in the listing and trading of capital market instruments such as equities, debt issues, funds, hedge funds, derivative warrants, and insurance linked securities. It is a member of the World Federation of Stock Exchanges and is internationally recognised as a stock exchange by the US, Canada, UK and other regulatory authorities.

Duties and Responsibilities

- Read and review, in a timely manner, applications for the admission of securities to listing on the BSX (assessing prospectus/offering memoranda and other listing documents) to ensure they meet compliance with the disclosure requirements of the Listing Regulations
- Liaise with listing sponsors, lawyers, trading members, advisors, regulators and the senior executives of companies/issuers in relation to admission of securities to listing and ongoing compliance obligations
- Communicate with the Listing Committee and the BMA in relation to listing applications
- Maintain accurate and complete records of listing applications, files and the BSX database
- Manage and develop Anti-Money Laundering and Anti-Terrorist Financing (AML/ATF) compliance programme
- Oversee the input and updating of the BSX website for security and other related data
- Oversee the timely dissemination of security related announcements to the market
- Oversee the monitoring of ongoing compliance with the Listing Regulations by listed issuers
- Oversee the delisting of securities process
- Respond to inquiries in respect of the interpretation of the Listing Regulations
- Revise and develop Listing Regulations, regulatory policy and procedures in response to market developments and the introduction of new asset classes
- Identify ways to streamline and manage the listing process more effectively
- Assist in implementing strategic initiatives and policies where appropriate

Minimum Qualifications Skills & Experience

- Lawyer, Accountant, Financial Services Professional or Chartered Financial Analyst
- Minimum 5 years' experience working in an international stock exchange or working in a similar capacity in an international legal, compliance or regulatory environment handling legal or prospectus documents relevant for listing on a stock exchange
- Demonstrable knowledge and experience in financial instruments and documents concerning them, particularly prospectuses and other offering documents
- Working knowledge of stock exchange operations and listing operational regulatory functions is preferable
- Excellent attention to detail

- Sound judgement and decision making skills
- Ability to prioritise tasks, handle confidential documents and work to tight deadlines
- Strong and effective communications skills (written and verbal)
- Energetic and self-motivated and happy to work in a small, supportive team environment
- Proficient in using Microsoft Office products
- Must be willing to work to accommodate the overlap of time zones for work originating out of Europe and North America if and as required